

# **Sample Workplan Outline**

## **May 2001**

### **1.0 INTRODUCTION**

In 1-2 paragraphs, describe your Brownfields Cleanup Revolving Loan Fund (BCRLF) program including the overall goals and objectives of the program.

### **2.0 INSTITUTIONAL STRUCTURE**

During the application phase, pilots were asked to demonstrate that they had an effective institutional structure in place or planned. As part of the pilot workplan, the applicant should reiterate key points on how the roles and responsibilities of the Cooperative Agreement Recipient, including its responsibilities as Lead Agency, (including Site Manager) and Fund Manager will be fulfilled. Qualifications and experience of the recipient's staff should be summarized. The relationship between the entities (within the organization or between agencies) should also be described. The workplan should also describe any agreements that may involve either the transfer of CA funds or other arrangements with organizations that will cooperate with the recipient without compensation. Examples of agreements that transfer funds include contracts, IAG's and subawards. A schedule for entering into these agreements should be provided. When contracts are used, the recipient must comply with the procurement provisions of 40 CFR Part 35, Subpart O. EPA may reserve the right to approve the substantive terms and conditions of specific types of agreements.

Lead Agency Responsibility. This section should outline how the functions of the lead agency will be fulfilled in the jurisdiction.

This section also should identify the government employee who will be the lead agency's Brownfields Site Manager. The Brownfields Site Manager will carry out the lead agency's responsibilities on a site-specific basis. The site manager works on behalf of the lead agency. Thus, the lead agency remains legally responsible to EPA for ensuring response actions are conducted in accordance with the BCRLF program. Typically the site manager is an employee of the lead agency, but other options are available to the lead agency to fulfill this role which include:

- the site manager can be an employee of the political subdivision, a state government employee, or federal employee (Corps of Engineers, Bureau of Reclamation etc);
- a political subdivision's use of a city ordinance that permits the temporary hiring of city personnel;
- designation by the lead agency of an employee as site manager who utilizes technical support from EPA regional staff. Pilots are encouraged to talk to their Regional point of contact on the level of support that may potentially be available.

- designation by the lead agency of any employee as site manager and contracts for technical support.

In many cases the site manager will be fulfilling responsibilities of both CERCLA and the NCP in addition to the individual state cleanup requirements. It may be helpful to describe how the site manager role will fulfill both sets of requirements. If the lead agency will be seeking outside technical assistance to support the Site Manager, this should be described.

Fund Manager. This section should outline the role of the individual or organization who will serve as the fund manager as well as any committees or advisory groups that will support the fund manager. A description of any financial arrangements (i.e., contract, IAG or subaward) Fund Manager should also be provided if appropriate.

Coalitions. If the award is to a coalition (e.g., a County and a City), describe how the members of the coalition will interact on loan decisions and lead agency decisions. For example, describe the relationship between the Lead Agency and the other coalition members in terms of how the program will be managed, how administration activities will be performed, and how funds awarded for each coalition member will be earmarked for use by that member. In addition, state the mechanism by which other coalition members will authorize the cooperative agreement recipient to act on their behalf (e.g., letters or resolutions from the other eligible entities authorizing the applicant to act on their behalf, or memorandums of understanding. Where applicable, describe how the lead agency will ensure that environmental response requirements are met at sites where it does not typically assert jurisdiction (i.e., sites located in other members political boundaries).

### **3.0 PROJECT APPROACH AND BUDGET**

This portion of the workplan should provide information on how the program will be developed and implemented. This can best be presented as several sequential tasks, please list and describe the tasks that will be accomplished through the life of the program. A sample list of tasks might include: Task 1 - Develop MOAs, Task 2 - Develop Loan Implementation Plan, Task 3 – Develop and Implement Outreach Strategy for potential borrowers, Task 4 - Make Loans, Task 5 – Conduct Site Specific Community Involvement, Task 6 – Undertake Site Management Activities, Task 7 – Fund & Activity Tracking and Reporting).

Provide a task specific budget using the following budget categories. The object class totals should match the information submitted in Standard Form 424A of the financial application package. If this is a coalition work plan, funding for each of the partners should also be provided. The budget should include the level of capitalization for the fund, general administrative expenses, direct financial assistance in combination with loans, and any “subawards” that the pilot is

budgeting for out of the capitalization amount.

#### BUDGET SUMMARY<sup>1</sup>

<b>Budget Categories</b>	<b>Task 1</b>	<b>Task 2</b>	<b>Task 3</b>	<b>Etc.</b>	<b>Total</b>
<i>Administrative Expenses</i>					
<i>Personnel</i>					
<i>Fringe Benefits</i>					
<i>Travel</i>					
<i>Equipment</i>					
<i>Supplies</i>					
<i>Contractual</i>					
<i>Other/subawards</i>					
<i>Indirect Cost Rate</i>					
<i>Subtotal</i>					
<i>Loan Capitalization</i>					
<i>Subtotal</i>					
<i>Direct Assistance to Lead Agency</i>					
<i>Subtotal</i>					
<b>TOTAL</b>					

#### 4.0 PROGRAM ADMINISTRATION AND FUND MANAGEMENT

Describe program administration parameters between EPA and the cooperative agreement recipient, including:

- Description of how the limit on general administrative costs (10%) will be monitored.

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<sup>1</sup> Pilots are encouraged to work with their Regional point of contact on the level of detail that should be presented in their budget and the format for the budget.

- Description of how direct financial assistance to lead agency (20% of cooperative agreement funds) in combination with a loan will be administered and monitored.
- Day-to-day Cooperative Agreement Management function. This should include provisions for administrative and record-keeping procedures, including how the funds provided in the cooperative agreement will be tracked.
- Loan Administration Process. Describe how the loan repayment requirements will be enforced. This includes the procedures for monitoring the borrower's payments of principal, interest and fees and ensuring the security of collateral. Recipients should also include information on how program income (repayments, interest and loan fees) will be tracked. Describe how late payments will be handled. Describe other funding sources and how they will be accounted for.
- Describe records maintenance procedures.
- If application includes more than one eligible entity, describe which entity(s) will administer the BCRLF, and how the ratio of funds awarded earmarked for each entity will be preserved, tracked, and reported. If coalition members opt to combine funding this should also be described.
- Describe procedures for obtaining payments from EPA for administrative expenses and loan disbursements. e.g. automated clearinghouse.

## **5.0 SCHEDULES AND MILESTONES**

Include a milestone specific schedule in your workplan. Your schedule should be tied to the tasks identified in Section III. At a minimum the schedule should include the following milestones:

- Completion of IAG's
- Awarding Contracts and subawards
- Completion of Loan Implementation plan/Loan Application Package (EPA to review and approve)
- Completion of Outreach Program for Potential Borrowers
- Program fully operational
- Cooperative Agreement Closed Out. (Loan Funds Obligated and Cleanups Complete)

## **6.0 REPORTING**

Describe the reporting that will be conducted with EPA. At a minimum, recipients will be required to submit quarterly progress reports, an annual financial status report, and a final report. The quarterly reports will describe progress and activities for the quarter, schedule and budget summary. Describe what measures of success will be developed and tracked. Pilots are encouraged to work with their Regional EPA point of contact on additional information regarding reporting.